


|  |   |   |
|--|---|---|
| FORM PTO-1390 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE<br><br><b>TRANSMITTAL LETTER TO THE UNITED STATES<br/>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br/>CONCERNING A FILING UNDER 35 U.S.C. 371</b>   |   | ATTORNEY DOCKET NUMBER<br>46969-5455<br><br>U.S. APPLICATION NO. If known, see 37 CFR 1.5<br><b>NEW 10/594621</b> |
| INTERNATIONAL APPLICATION NO.<br>PCT/JP2005/005637   | INTERNATIONAL FILING DATE<br>March 22, 2005 | PRIORITY CLAIMED<br>JP 2004-102813 filed March 31, 2004   |
| TITLE OF INVENTION<br>TRANSFER DEVICE FOR OPTICAL PICKUP   |   |   |
| APPLICANT(S) FOR DO/EO/US<br>Kazuo TAKAHASHI and Ichiro SUGAI  |   |   |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:  |   |   |
| <ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</li> <li>4. <input checked="" type="checkbox"/> The US has been elected (Article 31).</li> <li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input checked="" type="checkbox"/> has been communicated by the International Bureau</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2))           <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154 (d)(4).</li> </ol> </li> <li>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has not expired.</li> <li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).</li> <li>9. <input type="checkbox"/> An oath or a declaration of the inventor(s) (35 U.S.C. 371 (c)(4))</li> <li>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol> |   |   |
| <b>Items 11 to 20 below concern document(s) or information included</b>  |   |   |
| <ol style="list-style-type: none"> <li>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>13. <input type="checkbox"/> A preliminary amendment.</li> <li>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</li> <li>15. <input type="checkbox"/> A substitute specification.</li> <li>16. <input type="checkbox"/> A power of attorney and/or change of address letter.</li> <li>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13<sup>ter</sup>.2 and 35 U.S.C. 1.821-1.825.</li> <li>18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</li> <li>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</li> <li>20. <input checked="" type="checkbox"/> Other items or information:           <ol style="list-style-type: none"> <li>(a) PCT Request</li> <li>(b) PCT/IB/308 (First and Second Supplementary Notice)</li> <li>(c) PCT/ISA/210 dated May 17, 2005</li> <li>(d) International Publication No. WO 2005/096283</li> <li>(e) PCT/ISA/237</li> </ol> </li> </ol>  |   |   |

|   |              |   |   |                                      |              |
|---|--------------|---|---|--------------------------------------|--------------|
| U.S. APPLICATION NO. <b>10/594621</b>   |              | INTERNATIONAL APPLICATION NO.<br>PCT/JP2005/005637                            |   | ATTORNEY DOCKET NUMBER<br>46969-5455 |              |
|   |              |   |   | Calculations                         | PTO use only |
| The following fees are submitted:   |              |   |   |                                      |              |
| 21. <input checked="" type="checkbox"/> Basic national Fee .....\$300.00  |              |   |   | \$300.00                             |              |
| 22. <input checked="" type="checkbox"/> Examination Fee<br>If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4) .....\$100.00<br>All other situations .....\$200.00   |              |   |   | \$200.00                             |              |
| 23. <input checked="" type="checkbox"/> Search Fee<br>Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority .....\$100.00<br>International Search Report prepared and provided to the Office .....\$400.00<br>All other situations .....\$500.00  |              |   |   | \$400.00                             |              |
| TOTAL OF 21, 22 and 23 =  |              |   |   | \$900.00                             |              |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium).<br>The fee is \$250 for each additional 50 sheets of paper or fraction thereof.   |              |   |   |                                      |              |
| Total Sheets  | Extra sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE  |                                      |              |
| 35 - 100 =  | 0/50 =       | 0   | × \$250.00  | \$0.00                               |              |
| Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(h)).  |              |   |   | \$0.00                               |              |
| CLAIMS  | NUMBER FILED | NUMBER EXTRA  | RATE  |                                      |              |
| Total claims  | 10- 20 =     | 0   | X \$50.00   | \$0.00                               |              |
| Independent claims  | 2 - 3 =      | 0   | X \$200.00  | \$0.00                               |              |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)   |              |   | + \$360.00  | \$0.00                               |              |
| TOTAL OF ABOVE CALCULATIONS =   |              |   |   | \$900.00                             |              |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by ½.  |              |   |   |                                      |              |
| SUBTOTAL =  |              |   |   | \$900.00                             |              |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).   |              |   |   | +                                    | \$0.00       |
| TOTAL NATIONAL FEE =  |              |   |   | \$900.00                             |              |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property  |              |   |   | +                                    | \$0.00       |
| TOTAL FEES ENCLOSED =   |              |   |   | \$900.00                             |              |
|   |              |   |   | Amount to be refunded:               | \$           |
|   |              |   |   | Amount to be charged:                | \$           |
| <p>a. <input checked="" type="checkbox"/> A check in the amount of \$900.00 to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. <u>50-0573</u> in the amount of \$ _____ to cover the above fees.<br/>A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>50-0573</u>.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p> |              |   |   |                                      |              |
| <p>NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.</p>  |              |   |   |                                      |              |
| <p>SEND ALL CORRESPONDENCE TO:<br/>CUSTOMER NO.: 055694</p>   |              |   |   |                                      |              |
| <p>DRINKER BIDDLE &amp; REATH LLP<br/>1500 K Street, N.W., Suite 1100<br/>Washington, D.C. 20005-1209<br/>Tel: (202) 842-8800<br/>Fax: (202)-204-0289</p>   |              |   | <p style="text-align: center;"><br/>SIGNATURE<br/>NAME: <u>Peter J. Sistare</u><br/>REGISTRATION NUMBER: <u>48,183</u><br/>DATE: <u>September 28, 2006</u></p> |                                      |              |